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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box: PATENT APPLICATION
Assistant Commissioner for Patents
Washington, DC 20231

TRANSMITTAL FOR PATENT APPLICATION

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is a United States patent application entitled SYSTEM FOR IMAGE ENCODING AND DECODING AND THE PRINTABLE SECURITY DEVICE PRODUCED THEREFROM in the name of the following inventor(s): Trevor Merry and Ileana Buzuloiu.

Enclosed are the following:

- X A specification, claims and abstract in total comprising thirty-two (32) pages.
- X Five (5) sheets of drawings.
- X Associate Power of Attorney and Direction for Forwarding Correspondence.
- X Declaration for Utility or Design Patent Application.
- X An Assignment conveying the invention to Canadian Bank Note Company, Ltd., including a Form PTO 1595 recordation cover sheet.
- A Declaration Claiming Small Entity Status pursuant to 37 C.F.R. § 1.9 and § 1.27.
- X A Certificate of Mailing by "Express Mail" certifying a filing date by use of Express Mail Label No. EL550337063US.

___ Priority to _____ (country) Application Serial No. _____ filed on _____ is claimed under 35 U.S.C. § 119.

___ A certified copy of foreign priority application Serial No. _____.

___ An Associate Power of Attorney.

The filing fee has been calculated as shown below.

			SMALL ENTITY		LARGE ENTITY	
FOR	NO. FILED	NO. EXTRA	RATE	FEE	RATE	FEE
BASIC FEE				\$345		\$690
TOT. CLAIMS	18 - 20=	0	X 9=		X 18=	0
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X Any filing fees under 37 C.F.R. § 1.16 for presentation of extra claims.

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— The issue fee set forth in 37 C.F.R. § 1.18 at or before mailing of the Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b).

X A duplicate copy of this letter is enclosed.

Please address all future correspondence in connection with the above-identified patent application to the attention of the undersigned.

Dated this 19th day of April 2000.

Respectfully submitted,



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- Patent Application in the name(s) of Trevor Merry and Ileana Buzuloiu for SYSTEM FOR IMAGE ENCODING AND DECODING AND THE PRINTABLE SECURITY DEVICE PRODUCED THEREFROM (32 pages)
- Drawings (5 sheets)
- Assignment with Form PTO-1595 cover sheet (3 pages)
- Declaration for Utility or Design Patent Application (2 pages)
- Associate Power of Attorney and Direction for Forwarding Correspondence (2 pages)
- Transmittal Letter (3 pages)
- Check No. 115015 for \$808.00
- Postcard

Dated this 19th day of April 2000.

Respectfully submitted,



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SYSTEM FOR IMAGE ENCODING AND DECODING AND
THE PRINTABLE SECURITY DEVICE PRODUCED THEREFROM

5 Field of the Invention

This invention relates generally to the field of security printing and, more particularly, to an image encoding/decoding system for producing a computer-generated security device which can be printed onto a document, such as a passport, to secure the document against data alteration.

Background of the Invention

The use of printed security indicia on identity documents is known in the industry. For example, the production of latent optically encoded images comprising overlying line deflection patterns is disclosed in each of Canadian Patent Nos. 1,172,282 to Trevor Merry and 2,071,795 to Trevor Merry et al. Another example is disclosed in U.S. Patent No. 5,708,717 to Alfred Alasia according to which a visible source image and latent image are optically scrambled by means of a computer to produce a combined image of which only the source image is visible to the unaided eye but the latent image may be identified by applying an optical lens to the combined image. In all of these examples the latent (hidden) image is detected by means of an optical decoder comprising lenticular lenses in a physical or computerized form (i.e. through the use of either a lenticular finding screen or, possibly, a digitally represented lens pattern overlay onto a computer display). However, such latent optically encoded images

provide to a document only a single level of secured identifying indicia, with the security level being determined by the optical encoding parameters.

5 The scope of the parameters (variables) which may be used to optically encode an image, such as in the foregoing encoding methods, is relatively narrow and limited by the physical specifications of both the printing method used to print the latent optically encoded image onto the document and the optical and physical manufacturing limitations of the lenticular finding screens which are needed to decode such latent images. Consequently, the degree of security provided by optical coding methods alone is less than the high level of security which may be required for many applications.

15 Therefore, there is a need in the marketplace, and the security printing industry, for an image encoding/decoding system which is able to provide different levels of security by a single printed security indicia applied to a document including a high level of security.

20 Summary of the Invention

In accordance with the invention there is provided a computer operated encoding system and method for producing an electronic security device image from one or more electronic source images, the security device image being adaptable for printing onto a document to secure the document against data alteration. Deflection encoding means comprises means for

applying a selected software lens to one of the source images and producing a deflected image. Encryption encoding means comprises means for applying an encryption function to the deflected image or one of the source images and producing an encrypted image. Overlaying means is provided for overlaying the deflected and encrypted images and producing therefrom the security device image whereby the deflected image may be detected from the security device image both by means of a manual lenticular lens corresponding to the software lens applied to a printing of the security image and by means of computer decoding processing applying the software lens and the encrypted image may be detected from the security device image solely by means of computer decoding processing applying a decryption function corresponding to the encryption function.

Preferably the security device image includes a plurality of deflected images, the deflected images being interlaced to form an interlaced image and the interlaced image being overlaid with the encrypted image. The software lens may be selected from the group comprising line lenses, curved lenses and bitmap lenses.

Also in accordance with the invention there is provided a computer operated decoding system and method for identifying one or more latent source images from a security device image comprising at least an encrypted image and a deflected image which are overlaid. Separating means are provided for separating the overlaid encrypted and deflected images.

Decryption decoding means comprises means for applying to the encrypted image the decryption function corresponding to the encryption function used to produce the encrypted image and producing therefrom a decrypted image, the decrypted image corresponding either to one of the source images or a deflected image. Deflection decoding means comprises means for applying to the deflected image, or to the decrypted image if the decrypted image corresponds to a deflected image, a software lens corresponding to the software lens used to produce the deflected image and producing therefrom a deflection decoded image.

Preferably, aligning means are provided for aligning the software lens with the deflected image to identify whether one of the source images corresponds to the deflection decoded image. The aligning means preferably comprises evaluation means for evaluating whether the deflection decoded image corresponds to the source image, wherein the evaluation means operates iteratively with the deflection decoding means to apply on each iteration either a different position of the software lens or other different lens parameter, until either the decoded image is determined to correspond to the source image or all available lens positions and/or parameters have been applied. The evaluation means may use a scoring algorithm to calculate a score based on pixel statistics calculated for each iteratively produced deflection decoded image. The deflection decoded image is determined to correspond to the source image when a relatively large change

occurs in the score from one iteration to the next. The system may further comprise means for outputting either the deflection decoded image when it has been determined to correspond to the source image or an error message if no such determination is made.

Advantageously, the security device image may be customized to identifying features of the individual document onto which the device is to be printed and at any time, at the election of the user, can either be manually or electronically decoded using an optical lens to achieve one level of security or electronically decoded using a decryption code to achieve a higher level of security. As such, the required level of security in any given circumstance may be employed at the election of the user without interfering with the ability of other users to at any time employ another level of security provided by such document.

Description of the Drawings

The present invention is described in detail below with reference to the following drawings in which like reference numerals refer throughout to like elements.

Figure 1 is a block diagram of an image encoding process in accordance with the invention;

Figure 2 is a block diagram of an image decoding process which decodes the encoded image produced by the encoding process of Figure 1;

Figure 3 is a block diagram of a software system which implements the encoding process of the invention;

Figure 4 is a block diagram showing one example of input and output images obtained through execution of the encoding module of the system of Figure 3; and,

Figure 5 is a block diagram of a software system which implements the decoding process of the invention.

Detailed Description of a Preferred Embodiment

The encoding system of the invention for producing a security device can be implemented by computer processing only. The decoding of the security device, however, can be implemented either by computer processing or by manually applying an optical decoding lens to the security device, the choice of decoding means being at the election of the user, to be decided on the basis of the circumstances of the user (such as whether the user's location provides access to a suitable computer system or, instead, only physical finding screens) and the level of security the user wishes to utilize.

The encoding system produces a security device which is a combination of encoded images one of which is a latent image detectable by means of a lenticular lens and another of which is a latent image detectable only by means of computer decoding processing utilizing an electronic key (i.e. decryption code). The user is thereby provided with a printable security device which can be used to achieve two

different levels of security for a document solely on the basis of the choice of the user and without interfering with the ability of others to at any time utilize the other level(s) of security provided by the device.

5 The security device 10 is the encoded electronic image produced by the encoding process of the invention the steps of which are illustrated in block diagram form by Figure 1. As shown by Figure 1 the encoding process, in its simplest form, comprises the steps A to encode a latent deflected image and the steps B to encode an encrypted image based on the deflected image followed by an overlay step 20 whereby the two encoded images (i.e. the deflected image 40 and the encrypted image 60) are overlaid to produce the security device image 10. In the example shown by Figure 4 the encrypted image 60 is based on the deflected image 40 and represents a second layer of encoding applied to that deflected image in that it is the optically encoded deflected image which is then further electronically encoded by means of an encryption function 70 applied to it.

15 Figure 2 illustrates the process for fully decoding the security device image 10 which was produced through the encoding process shown by Figures 1 and 4. The highest security level decoding process is achievable only through the use of decoding software which implements the steps C, as
20 illustrated, whereby the encrypted image is first decrypted using the assigned decryption function as applied by the

encoding process, and steps D whereby then the resulting
decrypted image is further optically decoded by means of a
software lens which applies to the decrypted image the lens
used for the encoding process, in order to result in the
5 identification of the decoded (i.e. source) image 100. The
separation of the overlaid encrypted and deflected images
takes place within the decryption process itself.

At the same time a second, lower security level decoding
process is available for decoding the security device image
10 and this uses only a physical lens (not shown in the
drawings) having the same parameters as the said assigned lens
(i.e. the lens applied in steps D of the process of Figure 2).
According to this decoding process the latent deflected image
is detected by hand (without need for computer software) using
15 a simple lenticular finding screen incorporating the assigned
lens, as is well known in the art and described, for example,
in the aforementioned Canadian Patent No. 1,172,282 the
contents of which is hereby incorporated by reference. By
this manual decoding process only the deflected image is
20 identified and the encrypted image of the security device
(which provides a higher level of security) is not utilized.

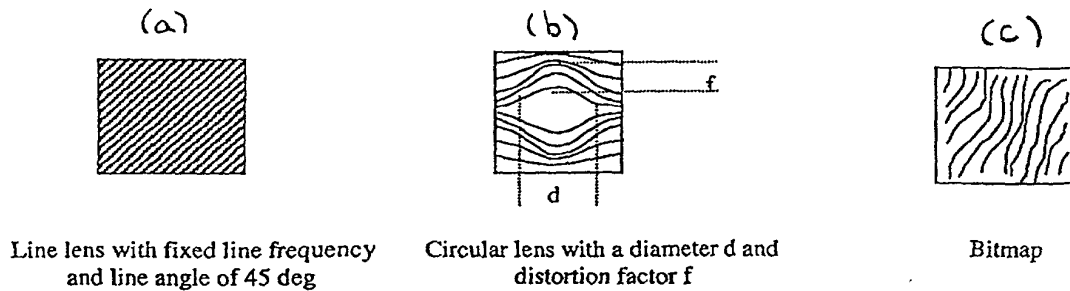
The deflected image 40 which results from the application
of the deflection encoding steps by the software is an
optically encoded image. The deflection encoding step 30 uses
25 a software lens which is applied to the source (input) image
(after the source image has been digitized and graphically

processed to render it compatible with the graphics parameters used by the particular computer software to be employed) to cause the source image to be broken into separate image elements. The source image may be any image such as a photograph, graphics, a bar code, etc. The image elements could be lines, curves or any other shape, their shape and frequency being determined by the software lens which is applied to the image.

The software lens could be any pattern, the most simple being a parallel line lens which is the typical pattern of hand-held finding screens. Preferably, however, to provide an increased level of security by the deflected image itself, the software lens is mathematically generated and is characterized by shape, and other parameters which are used to control the result of the deflection procedure. Shape indicates the geometric distribution of the separate elements that will form the deflected image (e.g. parallel lines, variable frequency parallel lines, distorted lines, etc.) while the other parameters give a quantitative description of a specific shape (e.g. line frequency, distortion factor, etc.) or a description of the deflected image elements (dotted, dashed, continuous, character lines, etc.). Alternatively, the assigned software lens may be defined by a specific bitmap rather than be mathematically defined. Examples of possible lens are illustrated below under Table A wherein item (a) represents a lens having a fixed line

frequency and line angle of 45 degrees, item (b) represents a circular lens having a diameter d and distortion factor f and item (c) represents a bitmap lens.

Table A



10

The software lens may also be personalized to the particular document onto which the security device is to be printed by using, as a lens parameter, selected identifying data associated with the document such as a personal identification number. However, if this were to be done the option of manually employing only the lowest security-level feature of the device 10, by using a lenticular finding screen to manually identify the latent deflected image, would be rendered impracticable because too many personalized finding screens would then be required rather than one generally applicable finding screen.

15

20

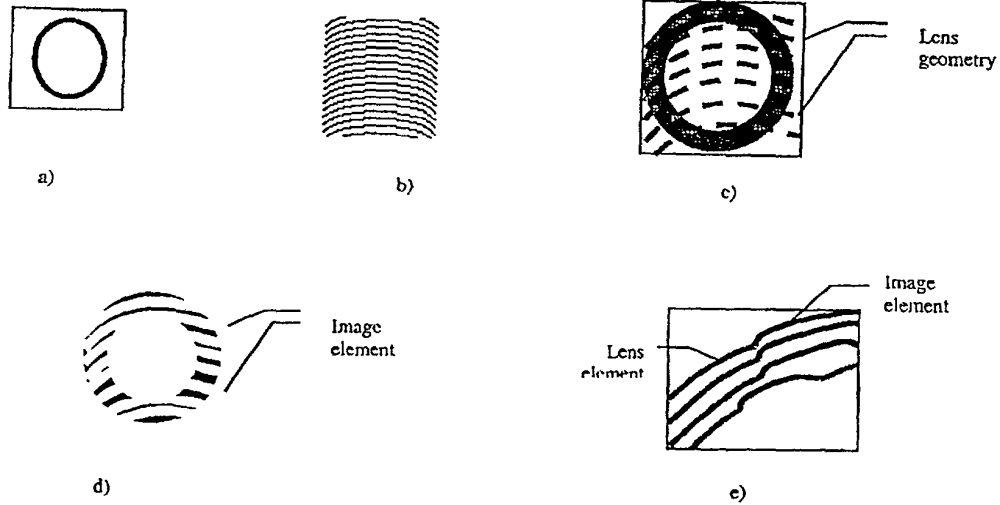
25

The deflected image is produced by applying the selected lens to the digitized, processed source image so that the source image is broken into separate image elements that follow the lens geometry and the width of those image elements is defined by the line frequency of the deflection lens. The

shape of the image element is determined by the type of lens used (i.e. the elements would be straight lines if a straight line lens is used, curved lines if a curved line lens is used, etc.). The chosen source image may be any image that is desired for use as a latent image, the source image shown in Figure 4 being the numeral "1". The image elements (i.e. the broken elements produced by applying the lens to the source image) are then combined with the lens elements so that the lens elements are deflected each time an image element is encountered. The resulting latent deflected image becomes visible to the eye only if the same lens is applied to the deflected image and only if it is applied in the correct position such that the lens overlays the lens elements of the deflected image. When the lens is positioned accordingly over the deflected image the original source image becomes visible because the lens elements are then eliminated from the deflected image.

Table B below illustrates the steps by which a software lens comprised of fixed frequency curved lines (item(b)) is applied to a source image (item (a)). The lens geometry (item (c)) determines the image elements (item (d)) and the image elements and lens elements are combined to produce the deflected image (item (e)).

Table B



If desired, two or more of the deflected images produced by steps A (Figure 1) may be combined into a composite deflected image by interlacing the individual deflected images (with each individual deflected image having been produced using the same or different lens). This is done digitally by merging into a single bitmap the individual bitmaps defining the deflected images which are to be interlaced.

The encrypted image 60 resulting from the encryption encoding step 50 is electronically encoded by means of one or more assigned encryption functions and, as such, is identifiable only by means of electronic decoding using the same assigned encryption function(s). As shown by Figures 1 and 4 the image 45 which is encrypted to produce the encrypted image 60 may be a deflected image 40 produced by means of

steps A or an uncoded, digitized and pre-processed image such as a person's photograph.

5 The encryption encoding step 50 consists of applying a selected mathematical function to the binary representation of the image 45 (the binary representation being a sequence of bytes). As a result of this the bytes defining the image are altered and the altered (encrypted) bytes, when presented in visual form as a bitmap, represent the encrypted image 60 which has no visible relevance to the original image 45. The only means of visually determining the image 45 from the encrypted image 60 is to apply to the altered bytes the reverse of the assigned encryption function. Therefore, this encryption procedure produces images that are detectable only by computer means.

15 The mathematical encryption function to be selected for use by the encryption encoding step is unrestricted. To provide an additional security feature to the security device 10 one or more parameters of the encryption function may be correlated to a personal (or individual) identifying feature of the document onto which the security image is to be printed. For example, one function parameter could be the personal identification number of the document (such as the passport number in the case of a passport). Specifically, the encryption function may be represented as follows:

25 $f(x,m)$ where,

x = the input variable (e.g. the current byte of the source image) and,
 m = a function parameter (e.g. a personal identification number associated with the document)

5 Thus, the function parameter m which is required by the encryption encoding step would be supplied at the time the personal data pertaining to that particular document is entered into the computer. Then, when the document is processed for security analysis the decryption step uses the identification number appearing on that particular document and, if the source image is not output as a result of the decryption process, it is then to be concluded that the document is not authentic.

15 The encrypted image 60 resulting from the encryption encoding steps B and one or more deflected images 40 resulting from the deflection encoding steps A are overlaid to produce the security device 10. By overlaying these images a visually combined image is produced but the individual bitmap pertaining to each image is preserved and identifiable by
20 means of a feature which is distinct to that bitmap such as colour. For example, a bitmap defining an encrypted image 60 is printed in one colour and an overlaid bitmap defining a deflected image 40 is printed in a contrasting colour such that each bitmap may be individually (separately) identified
25 through appropriate scanning and computer processing.

The image 10 defining the security device is decoded by the decoding process shown in Figure 2 according to which the image 10 is first digitized to render it computer readable. The image is then graphically pre-processed to render the data compatible with the particular graphics software utilized by the decoding software and to separate out the colour planes of the image which, in turn, separates the overlaid images into discrete images for separate decoding. To decode the highest-level security feature of the security device the decryption process steps C are applied to the encrypted image of the security device to identify the encrypted image and the result is either input to the deflection decoding software to apply to it the deflection decoding process steps D (if the encrypted image is a deflected image) or output as a source image (if the encrypted image is a source image).

Figure 3 illustrates the software modules of the image encoding system. As shown, the security device image 10 is created by successively overlaying encoded images, referred to herein as image components, each of which is encoded separately and without restriction as to the specific encoding procedure used. The image components could be any type of image, as desired, including deflected and encrypted images as described herein, bar codes (printed using visible or invisible ink, the latter being ultra-violet or infra-red light sensitive) and/or a visible photograph bitmap (and/or

variable text data) which might be used for the background of the security device image.

As shown in Figure 3 each source image that is to be added as a security device image component is input in digital form either by scanning the image or by loading a bitmap file (which may have been created using any other graphic application) and the appropriate graphic pre-processing steps are applied to the digitized image to render it compatible with the encoding software. The encoding option, being either deflection or encryption, is selected by the user through a user interface module 80 which interfaces the user to an image manager agent 90. The image manager agent 90 controls the operation of the various software components of the encoding system. As is well-known in the art an agent is a segment of computer software which can be autonomous and/or mobile and may be implemented as a component or object. (Agents are able to interact with their environment and to act both proactively and reactively). The terms "component" and "module" herein refer to a set of computer-readable instructions or commands and are not limited to any specific architecture or location.

The selected encoding process is input to the encoding module 110 together with the particular encoding parameters which are needed for the selected encoding. If deflection encoding is selected a description of the lens is provided either by loading a lens read from a file or by setting the

parameters to be used in generating the lens as described above. If encryption encoding is selected the encryption function is generated and both the mathematical function and the function parameters are input to the encoding module 110.

5 The output image produced by the deflection encoding process may be further processed as input to the encoding module for further encryption encoding and/or as one image component to be overlaid with others to form the security device image 10. The output image produced by the encryption encoding process is itself processed as another image component of the security device image.

10 The image components produced by the encoding module 110 are combined using the overlay module 120 and before doing so one or more of the image components may be combined by interlacing, using the interlace module 130, as described
15 above. When interlacing is selected the system provides the support for selecting an appropriate frequency for the deflection encoding lenses based on the number of images to be interlaced. The manner by which multiple deflected images
20 may be interlaced is well-known by persons in the art as are the frequency limitations which apply to such interlacing.

When all desired image components have been overlaid to produce the image 10 the security device (which is defined by the image 10) may be printed onto a document and/or stored in
25 a file system.

Figure 5 illustrates the software modules of the image decoding system which, as shown, are for the most part symmetric to those of the encoding system except that the input image is the security device image instead of a selected source image and the deflection decoding process of the decoding module 140 necessarily includes an alignment component because, as is well-known by persons skilled in the art, the exact alignment of the assigned lens with the lens elements of the deflected image is critical to the identification of the deflected source image. This alignment component is needed to ensure that any failure of the decoding module 140 to identify a deflected image is due to the fact that the document is not authentic and not simply because a misalignment of the decoding lens failed to reveal the source image. Because it is critical that the lens be exactly aligned the decoding software must be able to evaluate and correct the alignment, as needed, just as effectively as a person is able to do using a manual lenticular finding screen (i.e. whereby one slowly moves the lens over the printed deflected image to change the position of the lens until the deflected source image either appears (thereby identifying an authentic document) or does not appear (thereby identifying an unauthentic document)). Therefore, the function of the alignment module is to simulate, by computer processing means, the necessary step of aligning the "finding lens" over the deflected image so that the image elements of the deflected

image become visible and the encoded (source) image thereby appears.

5 The correct positioning of the software lens may be achieved by applying detectable, fixed registration marks to the deflected image at the time it is produced so that the decoding lens may simply be aligned in a predetermined manner with respect to those registration marks. Alternatively, if registration marks are not desired, an evaluation module 150 utilizing a scoring technique is applied as shown in Figure 5 and Table C and described below. On successful identification of the (known) encoded image the decoded image 170, being the source image, is displayed on a monitor 180. On a failure to identify the encoded image an error message 175 is displayed on the monitor 180.

15 The bitmap produced through the deflection decoding process of the decoding module 140 is automatically evaluated by the evaluation module 150 to identify the presence or absence of an encoded source image. If the evaluation module 150 calculates an evaluation score value which is not satisfactory the deflection decoding process is repeated on an iterative basis, using gradually adjusted lens parameters (depending on the lens type), and the bitmap resulting from each iterated deflection decoding process is reevaluated until a satisfactory score value is reached or all adjustment possibilities have been applied in which case it is concluded

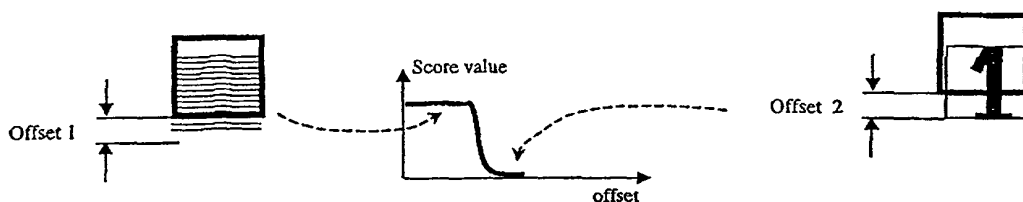
20

25

that a source image is not present and, therefore, the document is not authentic.

Because a correct positioning of the lens will cover the line segments that are not a part of the source image itself, a sudden drop in the score function will indicate that the correct position of the lens has been recorded. This is illustrated below under Table C in which offset 1 (which is approaching but not quite at the correct position for the lens) is shown to produce a relatively high score value and offset 2, representing the correct lens position in which the source image (the numeral "1") is clearly visible, is shown to produce a much lower score value.

TABLE C



Even if registration marks are used to accurately position the lens this scoring technique can still be used advantageously to determine the correct lens parameters since in some cases the offset (i.e. lens position) may be correct but one of the lens parameters, such as frequency, may be incorrect. To do so, for a given lens position, the lens frequency is increased gradually until a desired score value is reached.

The scoring algorithm used by the evaluation module 150 is based on pixel statistics and does not depend on the lens

type. The image is decomposed into groups of pixels. A scoring function defines a scatter factor and a maximum number of image elements. The scatter factor represents the area of the largest pixel group divided by the total bitmap area. A very small scatter factor indicates that pixels are very scattered (indicating the image is composed of very small area groups). The maximum number of image elements represents the number of distinct pixel groups identified in the bitmap. Table D below shows the relative element numbers and scatter factors assigned to two very different images using this technique.

TABLE D



Number of elements: 30
Scatter factor aprox 0.01



Number of elements: 9
Scatter factor aprox 0.1

The assumption made by the scoring algorithm is that an image will be relevant if it is formed of distinct image segments which are not too scattered and whose number do not exceed a certain limit. The scatter factor and maximum number of image elements are adjustable during the scoring process, and they also depend on the complexity of the encoded image as well as on the lens frequency. For example, a higher lens frequency will require a larger maximum number of image elements to be designated because the source image would then be defined by a larger number of image elements.

The steps taken by the evaluation module 150 are the following, with reference to the example which is provided by Table E below for purposes of illustration:

5 1. Initiate score value with a maximum value S. Since the score value is calculated on pixel statistics (taking the simplest example, this could be the total number of pixels that are revealed during the current evaluation step) this initial value could be considered to be the total number of pixels that the deflected image contains. Let this be $S=200$ for purposes of this example.

10 2. Generate software lens L (presumed to be the correct one). The lens shape is chosen to be parallel line lens with a line frequency of 69 dpi for this example.

15 3. Overlay lens L and bitmap B using offset O for the lens. Initiate O with $O_1=\text{zero}$. Overlay means that all necessary preparations are being done to apply the deflection decoding to bitmap B, using lens L, but the decoding itself is performed during the next step, called 'apply lens'.

20 4. Apply lens to obtain resulting decoded image $R = R_1$. Image R_1 represents the output of the deflection decoding procedure, but it does not necessarily reveal an acceptable image. According to the physical phenomena that the software lens is simulating, the result of applying a linear lens to a deflected image will be that only some portions of the
25 bitmap B will become part of the decoded image R. In this example, these portions are 'stripes' because chosen lens is linear but for a different lens shape the fragments would follow that particular lens shape.

5. Calculate score value S1 for image R1. Following this simple chosen example, the pixels in image R1 are counted and an S1 value is assigned as S1=180.

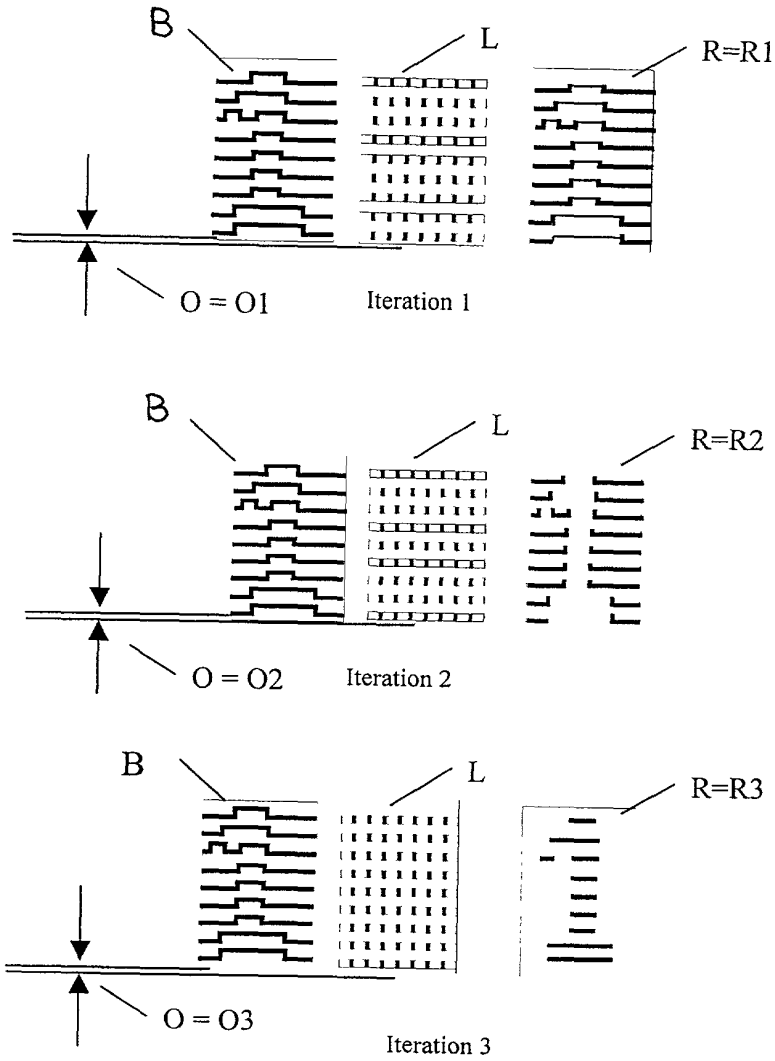
6. Compare S1 to S2. If the ratio S2/S1 is greater than a preset limit D (for example, set $D = 1/3$) then it is decided that either the lens has not been properly aligned or has not been properly chosen. The limit D can be adjusted, and the intention is that D must reflect the ratio between the total bitmap area (B) and the area of the source image sought. In this example, the ratio 180/200 is greater than 1/3 and, therefore, it is necessary to return to step 3 and adjust the value of offset O.

7. Iterations 2 and 3 shown below in the example provided by Table E use two different offset values O2 and O3 respectively, where $O1 < O2 < O3$. Decoded image R2 generates, for example, a score value $S2 = 143$, while decoded image R3 generates, for example, a score $S3 = 58$. For the third iteration, because 58/200 is less than 1/3 (the value assigned to limit D), the evaluation module decides that offset O3 correctly aligns the lens.

8. The decoded image R3 is further evaluated to decide whether it actually contains the source image. As described above with reference to Table D, a pixel statistics scoring algorithm is applied by calculating the scatter factor and number of elements. For this example a scatter factor $F = 0.1$ and number of elements $N = 10$ are assigned and these values are compared to preset limits $F_{min} = 0.02$ and $N_{max} = 20$.

Since $F > F_{\min}$ and $N < N_{\max}$ the evaluation module accepts the image R_3 as being the source image.

Table E



As illustrated by Figure 5, in addition to the foregoing iterative scoring steps, the evaluation module 150 may also evaluate the accepted image using an image database which provides image descriptions in the form of predefined score function values that are matched by the evaluation module against the score function values that were calculated by the evaluation module (i.e. using steps 1-5 above).

Additional evaluation criteria may also be used to ensure that the resulting image is correct and represents an authentic document such as comparing the accepted image bitmap against the personal identification number, visible portrait or other biometric printed on the document if one of these was the source image, or comparing other data obtained from another source such as downloaded from a file or verbally supplied by the document bearer.

WHAT IS CLAIMED IS:

1. A computer operated encoding system for producing an electronic security device image from one or more electronic source images, said security device image being adaptable for printing onto a document to secure said document against data alteration, said system comprising:

- (a) deflection encoding means comprising means for applying a selected software lens to one of said source images and producing a deflected image;
- (b) encryption encoding means comprising means for applying an encryption function to said deflected image or one of said source images and producing an encrypted image;
- (c) means for overlaying said deflected and encrypted images and producing therefrom said security device image,

whereby said deflected image may be detected from said security device image both by means of a manual lenticular lens corresponding to said software lens applied to a printing of said security image and by means of computer decoding processing applying said software lens and said encrypted image may be detected from said security device image solely by means of computer decoding processing applying a decryption function corresponding to said encryption function.

2. An encoding system according to claim 1 wherein said security device image includes a plurality of said deflected images, said deflected images being interlaced to form an

interlaced image and said interlaced image being overlaid with said encrypted image.

3. An encoding system according to claim 1 wherein said software lens is selected from the group comprising line lenses, curved lenses and bitmap lenses.

4. A computer operated decoding system for identifying one or more latent source images from a security device image comprising at least an encrypted image and a deflected image which are overlaid, said decoding system comprising:

- (a) means for separating said overlaid encrypted and deflected images;
- (b) decryption decoding means comprising means for applying to said encrypted image the decryption function corresponding to the encryption function used to produce said encrypted image and producing therefrom a decrypted image, said decrypted image corresponding either to one of said source images or a deflected image; and,
- (c) deflection decoding means comprising means for applying to said deflected image, or to said decrypted image if said decrypted image corresponds to a deflected image, a software lens corresponding to the software lens used to produce said deflected image and producing therefrom a deflection decoded image.

5. A decoding system according to claim 4 and further comprising means for aligning said software lens with said deflected image to identify whether one of said source images corresponds to said deflection decoded image.

6. A decoding system according to claim 5 wherein said aligning means comprises evaluation means for evaluating whether said deflection decoded image corresponds to said source image, wherein said evaluation means operates iteratively with said deflection decoding means to apply on each iteration either a different position of said software lens or other different lens parameter, until either said decoded image is determined to correspond to said source image or all available lens positions and/or parameters have been applied.

7. A decoding system according to claim 6 wherein said evaluation means uses a scoring algorithm to calculate a score based on pixel statistics calculated for each iteratively produced deflection decoded image.

8. A decoding system according to claim 7 wherein said deflection decoded image is determined to correspond to said source image when a relatively large change occurs in said score from one said iteration to the next.

9. A decoding system according to claim 8 and further

comprising means for outputting either said deflection decoded image when it has been determined to correspond to said source image or an error message if no such determination is made.

10. An image encoding method for producing an electronic security device image from one or more electronic source images whereby said security device image may be adapted for printing onto a document to secure said document against data alteration, said method comprising the steps:

- (a) applying a selected software lens to one of said source images and thereby producing a deflected image;
- (b) applying an encryption function to said deflected image or one of said source images and thereby producing an encrypted image;
- (c) overlaying said deflected and encrypted images and producing therefrom said security device image,

whereby said deflected image may be detected from said security device image both by means of a manual lenticular lens corresponding to said software lens applied to a printing of said security image and by means of computer decoding processing applying said software lens and said encrypted image may be detected from said security device image solely by means of computer decoding processing applying a decryption function corresponding to said encryption function.

11. An encoding method according to claim 10 whereby a

plurality of said deflected images are produced and interlaced to form an interlaced image and said interlaced image is overlaid with said encrypted image.

12. An encoding method according to claim 11 whereby said software lens is selected from the group comprising line lenses, curved lenses and bitmap lenses.

13. An image decoding method for identifying one or more latent source images from a security device image comprising at least an encrypted image and a deflected image which are overlaid, said method comprising the steps:

- (a) separating said overlaid encrypted and deflected images;
- (b) applying to said encrypted image the decryption function corresponding to the encryption function used to produce said encrypted image and producing therefrom a decrypted image, said decrypted image corresponding either to one of said source images or a deflected image; and,
- (c) applying to said deflected image, or to said decrypted image if said decrypted image corresponds to a deflected image, a software lens corresponding to the software lens used to produce said deflected image and producing therefrom a deflection decoded image.

14. A method according to claim 13 and further comprising the step of aligning said software lens with said deflected image to identify whether one of said source images corresponds to said deflection decoded image.

15. A method according to claim 14 wherein said aligning step comprises iteratively producing a deflection decoded image using either a different position of said software lens or other different lens parameter, until either said deflection decoded image is determined to correspond to said source image or all available lens positions and/or parameters have been applied.

16. A method according to claim 15 wherein a scoring algorithm is applied to calculate a score based on pixel statistics calculated for each iteratively produced deflection decoded image.

17. A method according to claim 16 whereby said deflection decoded image is determined to correspond to said source image when a relatively large change occurs in said score from one said iteration to the next.

18. A method according to claim 17 and further comprising the step of outputting either said deflection decoded image when it has been determined to correspond to said source image or an error message if no such determination is made.

ABSTRACT

An image encoding/decoding system and method for producing a computer-generated security device which can be printed onto a document, such as a passport, to secure the document against data alteration. Deflection encoding means comprises means for applying a selected software lens to a source image and producing a deflected image. Encryption encoding means comprises means for applying an encryption function to the deflected image or a source image and producing an encrypted image. Overlaying means is provided for overlaying the deflected and encrypted images and producing therefrom the security device image. The deflected image may be detected from the security device image both by means of a manual lenticular lens corresponding to the software lens applied to a printing of the security image and by means of computer decoding processing applying the software lens. However, the encrypted image may be detected from the security device image solely by means of computer decoding processing applying a decryption function corresponding to the encryption function.

Input Source Image

Digitize image

Graphic preprocessing

A

Select deflection
encoding option

Load lens
bitmap

Input lens
parameters

Generate lens

30
Apply deflection
encoding

40

Interlace

45

Select encryption
encoding option

Select encryption
function

Read function
parameters
from document

Input
function
parameters

50

Apply encryption

60

B

Overlay 20

Output Security
Device Image 10

Figure 1

Input Source Image
Digitize image
Graphic preprocessing
Select deflection encoding option
Load lens bitmap
Input lens parameters
Generate lens
Apply deflection encoding
Interlace
Select encryption encoding option
Select encryption function
Read function parameters from document
Input function parameters
Apply encryption
Overlay
Output Security Device Image

Security Device Image 10

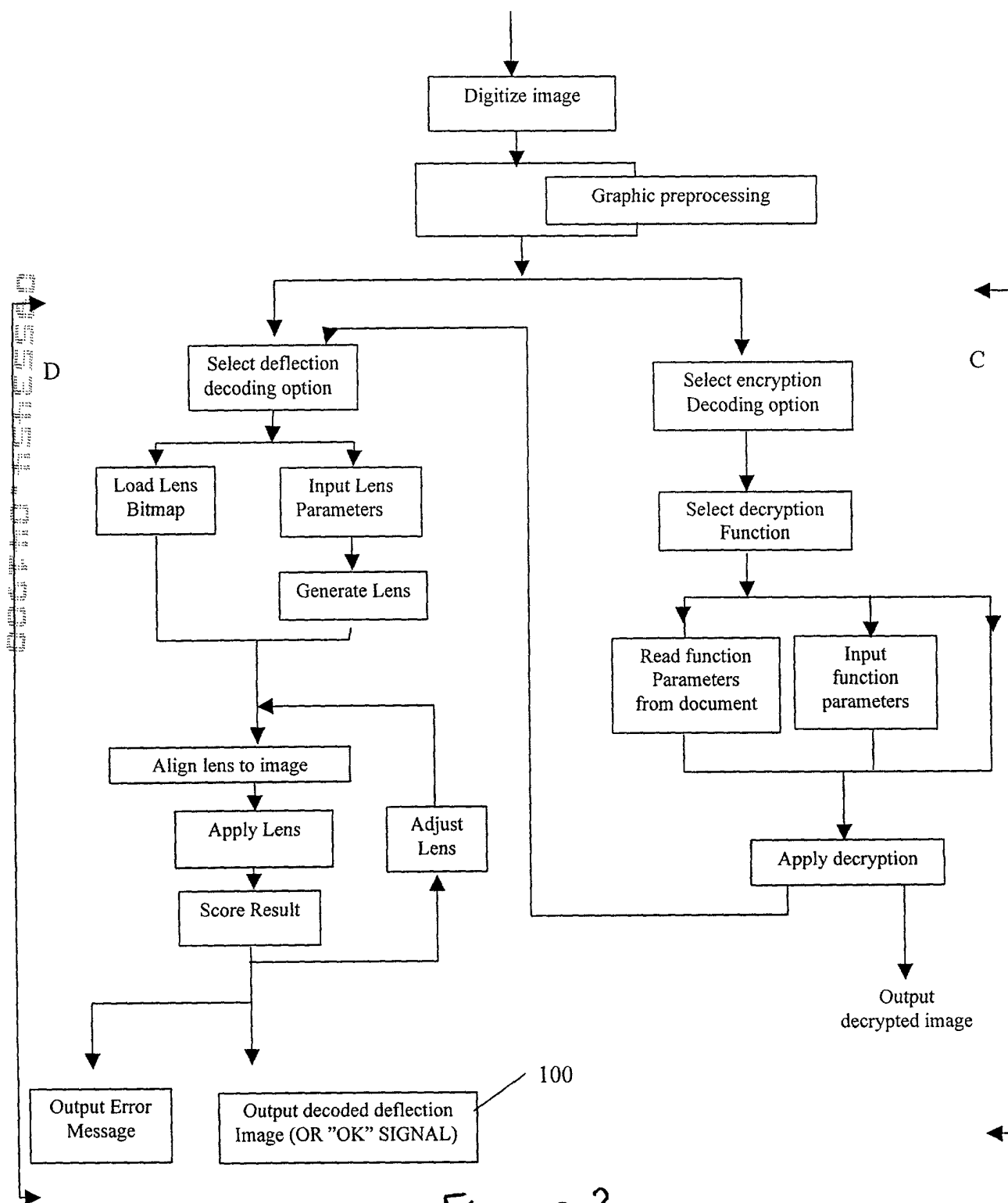


Figure 2

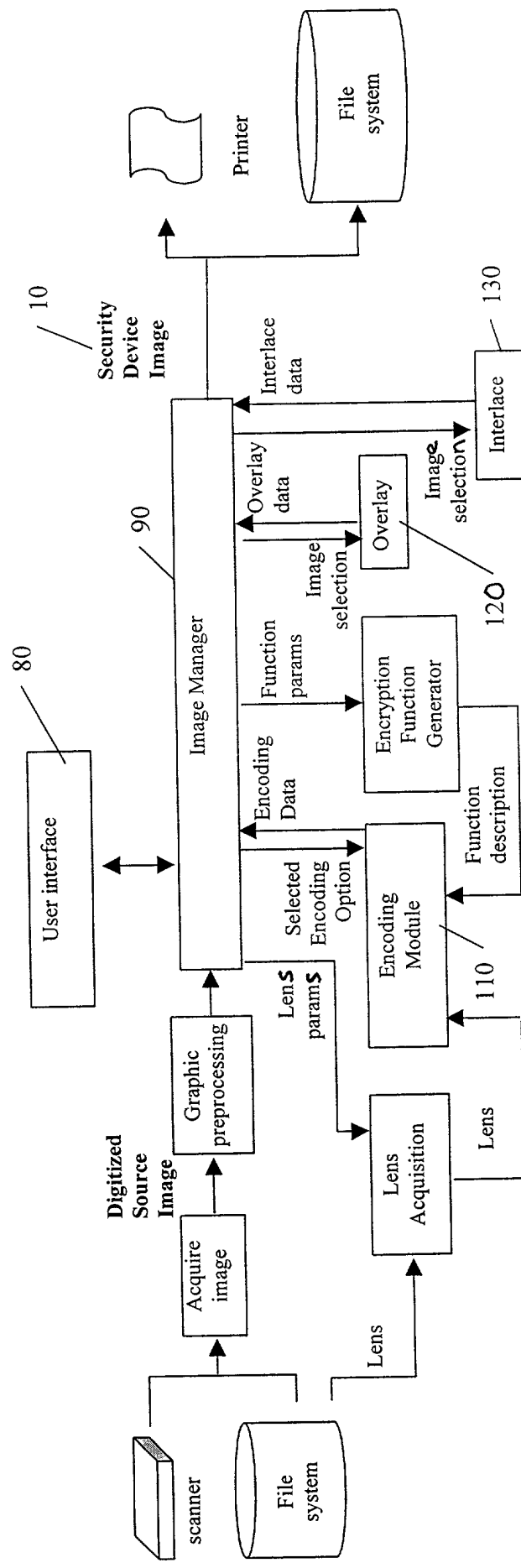


Figure 3

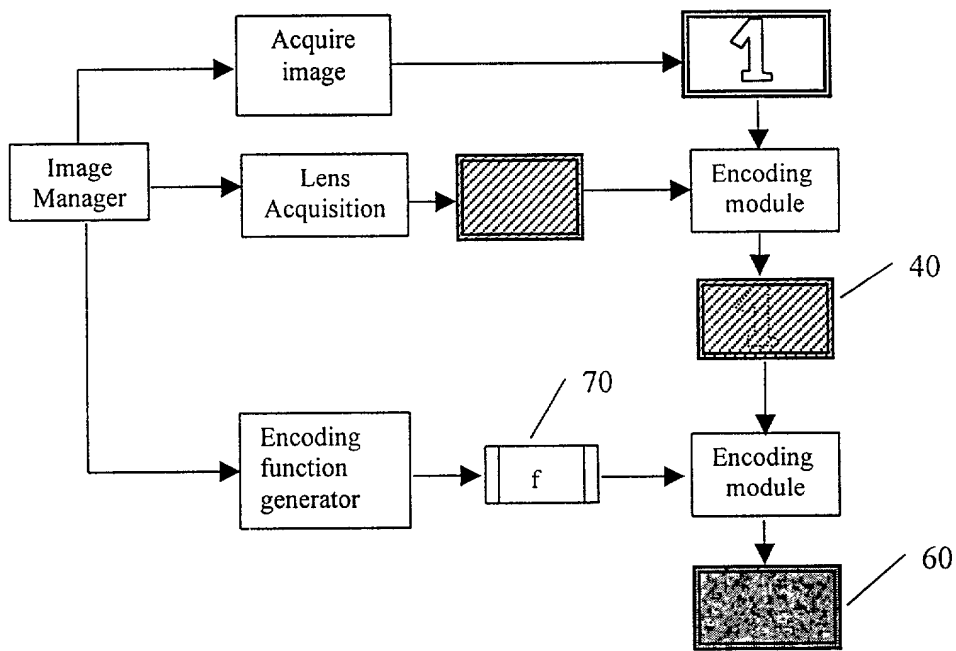


Figure 4

80

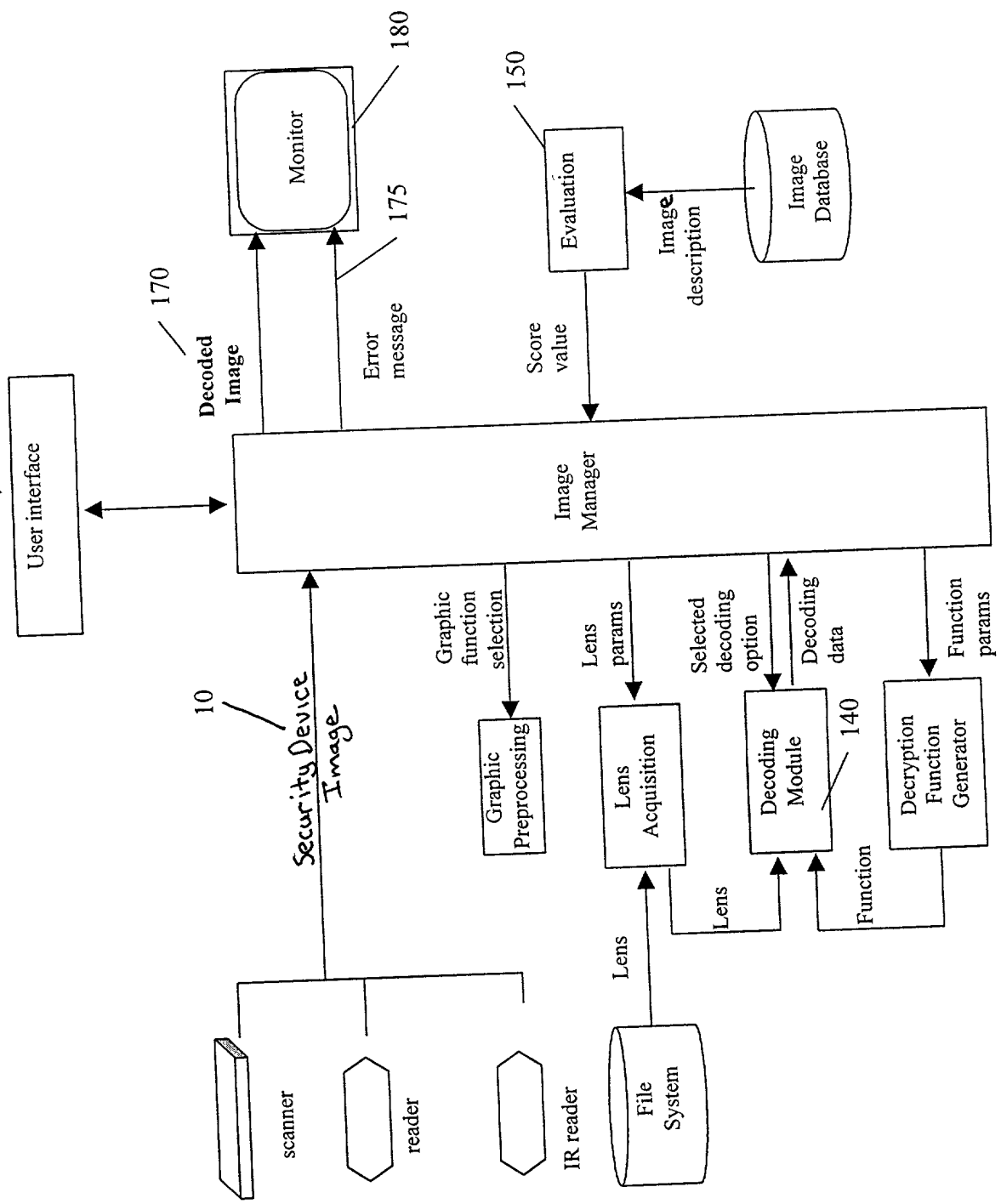


Figure 5

DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION
(37 CFR 1.63)

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am an original, first and joint inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**SYSTEM FOR IMAGE ENCODING AND DECODING AND
THE PRINTABLE SECURITY DEVICE PRODUCED THEREFROM**

the specification of which is attached hereto.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 C.F.R. 1.56.

As a named inventor, I hereby appoint the following registered practitioners to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

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R.A.R. Parsons	28,159
P. Scott Maclean	39,543
W.B. Vass	36,146
R.G. Hirons	24,666

of Messrs. Ridout & Maybee, my attorneys with full power of substitution and revocation, to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith.

Direct all correspondence to: Messrs. Ridout & Maybee,
150 Metcalfe Street, 19th Floor, Ottawa, Ontario Canada K2P 1P1.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful

false statements may jeopardize the validity of the application or any patent issuing thereon.

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IN THE MATTER OF United States
Patent Application in the
name of Merry et al

and entitled SYSTEM FOR IMAGE
ENCODING AND DECODING AND THE
PRINTABLE SECURITY DEVICE
PRODUCED THEREFROM

ASSOCIATE POWER OF ATTORNEY AND
DIRECTION FOR FORWARDING CORRESPONDENCE

THE UNDERSIGNED, LYNN S. CASSAN, Registration No. 32,378,
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AND THE UNDERSIGNED further directs that communications concerning the application are to be directed to the above-mentioned associate attorneys at:

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DATED at Ottawa, Canada, this 18th day of April, 2000.



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